

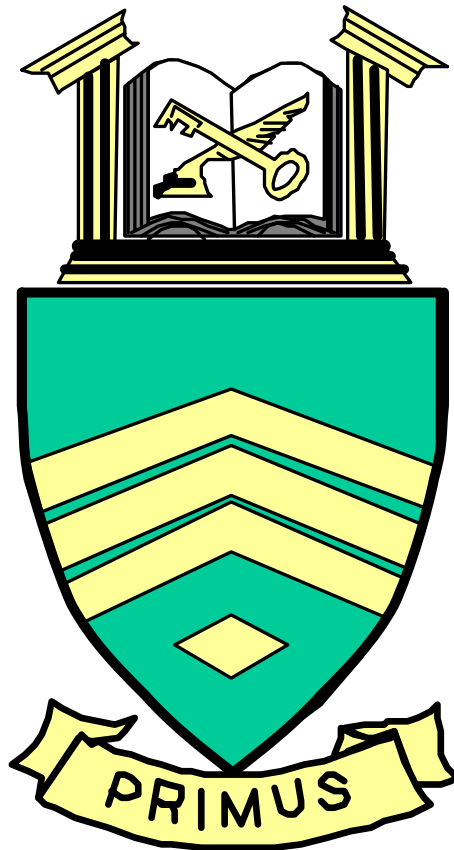
U.S. ARMY SERGEANTS MAJOR ACADEMY (FSC-TATS)

L664

JUN 01

COUNSELING

PRERESIDENT TRAINING SUPPORT PACKAGE



Overview

Leaders in a company-level organization have a responsibility to ensure that the unit has an effective counseling program. This responsibility does not lie solely in the hands of the First Sergeant or the Company Commander. All leaders must counsel their subordinates. All senior NCOs must understand the effects of counseling on the organization and seek to improve the unit counseling program. In order to develop and maintain an effective program, it is imperative that you understand the tenets of effective counseling. During this training, you will review the basics of counseling which you first learned as a junior leader. You will then learn how counseling affects organizations and how you can develop an effective counseling program within your organization.

Inventory of Lesson Materials

Prior to starting this lesson ensure you received all materials (pages, tapes, disks, etc.) required for this Training Support Package. Go to the “**This [TSP or Appendix] Contains**” section, on page one of the TSP and the first page of each Appendix, and verify you have all the pages. If you are missing any material, contact the First Sergeant Course Class Coordinator at the training institution where you will attend phase II FSC-TATS.

Point of Contact

If you have any questions regarding this lesson, contact the First Sergeant Course Class Coordinator at the training institution where you will attend phase II FSC-TATS.

PRERESIDENT TRAINING SUPPORT PACKAGE

**TSP
Number
/Title**

L664
Counseling

**Effective
date**

JUN 01

**Supersedes
TSPs**

L664, Counseling
MAY 00

TSP User

This TSP contains a training requirement that you must complete prior to attending phase II, FSC-TATS. It will take you about 1 hour to complete this requirement.

Proponent

The proponent for this document is U.S. Army Sergeants Major Academy.
POC: FSC TATS Course Chief, DSN: 978-8848; commercial: (915) 568-8848.

**Comments
/Recommendations**

Send comments and recommendations on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to:

ATTN ATSS DCF FSC TATS
COMDT USASMA
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**Foreign
disclosure
restrictions**

The lesson developer in coordination with the USASMA foreign disclosure authority has reviewed this lesson. This lesson is releasable to foreign military students from all requesting foreign countries without restrictions.

**This TSP
Contains**

The following table lists the material included in this TSP:

Table of Contents		Page
Lesson	Section I, Administrative Data	2
	Section II, Introduction/Terminal Learning Objective	4
	Section III, Presentation	5
	Section IV, Summary	6
	Section V, Student Evaluation	7
	Section VI, Student Questionnaire	8
Appendixes	A. Lesson Evaluation and Solutions	Not used
	B. Lesson Exercise and Solutions	B-1
	C. Student Handouts	C-1

SECTION I ADMINISTRATIVE DATA**Tasks
trained**

This lesson trains the tasks listed in the following table(s):

Task number:	158-100-1361
Task title:	Develop a unit counseling program,
Conditions:	as a first sergeant in a company level organization,
Standards:	IAW FM 22-100.
Task Proponent:	U. S. Army Command and General Staff College.

**Tasks
reinforced**

None

**Pre-
requisite
Lesson(s)**

None

Clearance and access There is no clearance or access requirement for this lesson.

References The following table lists reference(s) for this lesson:

Number	Title	Date	Para No.	Additional Information
FM 22-100	Army Leadership	Aug 1999		

Equipment Required None

Materials Required None

Safety Requirements None

Risk Assessment Level Low

Environmental Considerations None

Lesson Approval The following individuals reviewed and approved this lesson for publication and incorporation into the First Sergeant Course--Total Army Training System.

Name/Signature	Rank	Title	Date
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Ed Robbs	CNTR	Training Developer	
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Ivan E. Williamson	SGM	Chief Instructor, FSC	
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Gregory L. Knight	SGM	Course Chief, FSC-TATS	
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SECTION II INTRODUCTION

Terminal Learning Objective At the completion of this lesson, you will--

Action:	Develop a unit counseling program,
Conditions:	as a first sergeant in a classroom environment, given SH-1 thru SH-3,
Standard:	Developed a unit-counseling program IAW SH-1 thru SH-3.

Evaluation When you enter phase II FSC-TATS, you will receive the end of Phase I Performance Examination that may include questions based on material in this lesson. On that examination, you must answer at least 70 percent of the questions correctly to achieve a GO.

Instructional lead-in In your NCOES courses, you received training in the fundamentals of counseling. Throughout your career you have employed counseling techniques. In this lesson you will review counseling fundamentals, learn to assess a unit counseling program, and prepare a plan to improve or sustain a unit counseling program.

SECTION III PRESENTATION

ELO 1

Action:	Identify effective counseling,
Condition:	as a first sergeant in a classroom environment, given SH-1 and SH-2,
Standard:	Identified effective counseling IAW SH-1 and SH-2.

ELO 2

Action:	Identify the leader's responsibilities in the unit counseling program,
Conditions:	as a first sergeant in a classroom environment, given SH-2,
Standard:	Identified the leader's responsibilities in the unit-counseling program IAW SH-2.

ELO 3

Action:	Identify the effects of counseling on the organization,
Conditions:	as a first sergeant in a classroom environment, given SH-1 and SH-2,
Standard:	Identified the effects of counseling on the organization IAW SH-1 and SH-2.

**Learning
Step/Activity
(LS/A) 1, ELO 1
thru ELO 3**

- Read ELO 1 thru ELO 3 above.
 - Study Student Handouts 1 and 2.
 - Complete lesson exercise 1 (LE-1, Appendix B) without referring to the student handout.
 - Review the reference on any item with which your response does not agree.
-

ELO 4

Action:	Assess the unit counseling program,
Condition:	as a first sergeant in a classroom environment, given SH-1 and SH-2,
Standard:	Assessed the unit counseling program IAW SH-1 and SH-2.

LS/A 1, ELO 4

-
- Read ELO 4 above.
 - Study Student Handout 1 and 2 (Appendix C).
 - Complete lesson exercise 2 (LE-2, Appendix B).
 - Compare your responses with the suggested solution found in the solution/discussion for lesson exercise 2 (SLE-2, Appendix B).
 - Review the reference on any item with which your response does not agree.
-

ELO 5

Action:	Prepare a plan to improve or sustain a unit counseling program,
Conditions:	as a first sergeant, given SH-1 thru SH-3,
Standard:	Prepared a plan to improve or sustain a unit-counseling program IAW SH-1 thru SH-3.

LS/A 1, ELO 5

-
- Read ELO 5 above.
 - Study Student Handout 1 thru 3.
 - Complete lesson exercise 3 (LE-3, Appendix B).
 - Bring your solution to LE-3 with you to phase II of FSC-TATS. During phase II, lesson L664, you will present your solution and discuss it with other students.
-

SECTION IV SUMMARY**Review/
Summarize
Lesson**

Company-level leaders are responsible for the unit-counseling program. An effective counseling program has a tremendous impact on individual performance and unit effectiveness. Leaders who invest in developing their unit counseling program are investing in the future of their subordinates and their unit.

Transition to Next Lesson	The concepts utilized in counseling are applicable to other leadership topics. Make a mental note to look for places to apply concepts covered in this lesson to other leadership lessons.
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Check on Learning	If your completed lesson exercises do not agree with the suggested solution, be sure to review the student readings.
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SECTION V STUDENT EVALUATION

Testing Require- ments	Before you enter phase II FSC-TATS, you will receive the end of Phase I Performance Examination that will include questions based on material in this lesson. On that examination, you must answer at least 70 percent of the questions correctly to achieve a GO.
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SECTION VI QUESTIONNAIRE

Directions Complete the following actions:

- Enter your name, your rank, and the date you complete this questionnaire.

Name:	Rank:	Date:
-------	-------	-------

- Answer items 1 through 6 below.
- Fold the questionnaire, so the address for USASMA is visible.
- Print your return address, add postage, and mail.

Note: Your response to this questionnaire will assist the Academy in refining and improving this course. When completing the questionnaire, answer each question frankly. Your assistance helps build and maintain the best curriculum possible.

Item 1 Do you believe you have met the learning objectives of this lesson?

Item 2 Was the material covered in this lesson new to you?

Item 3 Which parts of this lesson were most helpful to you in learning the objectives?

Item 4 How could we improve the format of this lesson?

Item 5 How could we improve the content of this lesson?

Item 6 Do you have additional questions or comments? If you do, please list them here. You may add additional pages if necessary

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Appendix B

Index of Exercises and Solutions

**This Appendix
Contains**

This Appendix contains the items listed in this table--

Title/Synopsis	Page(s)
LE-1, Counseling Fundamentals	LE-1-1 thru LE-1-3
SLE-1, Solution/Discussion LE-1	SLE-1-1 thru SLE-1-4
LE-2, Assess Unit Counseling Program	LE-2-1 thru LE-2-6
SLE-2, Solution/Discussion for LE-2,	SLE-2-1
LE-3, Plan to Improve or Sustain Unit Counseling Programs	LE-3-1

LESSON EXERCISE 1 COUNSELING FUNDAMENTALS

Directions Fill in the following items without referring to the student readings.

Item 1 Define counseling.

Item 2 What is the specific outcome we expect to achieve from counseling?

Item 3 What characteristics should your counseling style incorporate?

Item 4 An effective counselor demonstrates certain qualities, what are they?

Item 5 What are some of the skills you should develop to be an effective counselor?

Item 6 There are two types of Developmental Counseling, what are they?

Item 7 Which type of Developmental Counseling is Reception and Integration Counseling, and why is it important?

Item 8 What is the purpose of Professional Growth Counseling?

Item 9 There are three approaches to counseling, what are they and what are the criteria for selecting one type over the other?

Item 10 What are some techniques you can use to support the counseling process?

Item 11 What are the stages of the counseling process?

Item 12 What must you do to follow up the counseling process?

Item 13 What is the purpose of the DA Form 4856-E.

SOLUTION/DISCUSSION FOR CHECK ON LEARNING 1

Item 1 Define counseling.

Counseling is subordinate-centered communication that produces a plan outlining actions necessary for subordinates to achieve individual or organizational goals.

Reference SH-2-1, FM 22-100, para 4-14

Item 2 What is the specific outcome we expect to achieve from counseling?

Proper counseling leads to a specific plan of action that the subordinate can use as a road map for improvement. Both parties, counselor and counseled, prepare this plan of action.

Reference SH-2-1, FM 22-100, para 4-15

Item 3 What characteristics should your counseling style incorporate?

Purpose, Flexibility, Respect, Communication, and Support

Reference SH-1-2 thru SH-1-3, FM 22-100, para C-8, Figure C-1

Item 4 An effective counselor demonstrates certain qualities, what are they?

- a. Respect for subordinates
- b. Self-awareness and cultural awareness
- c. Credibility
- d. Empathy

Reference SH-1-3, FM 22-100, para C-9

-
- Item 5** What are some of the skills you should develop to be an effective counselor?
- a. Active listening: giving full attention to subordinates and sending the message that you understand them.
 - b. Responding: communicating to subordinates that you understand them; responding includes eye contact gestures and verbal responses.
 - c. Questioning: questions should be open-ended and serve the purpose of obtaining necessary information or getting the subordinate to think.

Reference SH-1-4 thru SH-1-5, FM 22-100, paras C-16 thru C-22

- Item 6** There are two types of Developmental Counseling, what are they?

- a. Event Oriented Counseling
- b. Performance/Professional Growth

Reference SH-1-8, FM 22-100, para C-26

- Item 7** Which type of Developmental Counseling is Reception and Integration Counseling, and why is it important?

Reception and Integration is Event-Oriented Counseling. It identifies and helps fix any problems or concerns that new members may have, especially any issues resulting from the new duty assignment. Secondly, it lets them know the organizational standards and how they fit into the team.

Reference SH-1-8, FM 22-100, para C-32

- Item 8** What is the purpose of Professional Growth Counseling?

To assist subordinates in achieving organizational and individual goals.

Reference SH-1-10, FM 22-100, para C-42

- Item 9** There are three approaches to counseling, what are they and what are the criteria for selecting one type over the other?

Nondirective, Directive, and Combined.

Reference SH-111 FM 22-100, para C-46

Item 10 What are some techniques you can use to support the counseling process?

During nondirective or combined counseling you may:
Suggest alternatives, recommend, persuade, and advise.

During directive counseling you may:
Mandate corrective training and command the soldier to change behavior.

Reference SH-1-12, FM 22-100, para C-53

Item 11 What are the stages of the counseling process?

Identify the need for counseling.
Prepare for counseling.
Conduct the counseling.
Follow up.

Reference SH-1-13, FM 22-100, para C-55

Item 12 What must you do to follow-up the counseling process?

You must support subordinates as they implement their plans of action. You must observe and assess this process and possibly modify the plan to meet its goals.

Reference SH-1-16, FM 22-100, para C-75

Item 13 What is the purpose of the DA Form 4856-E?

It is designed to help Army leaders conduct and record counseling sessions.

Reference SH-1-18, FM 22-100, para C-78

LESSON EXERCISE 2 ASSESS UNIT COUNSELING PROGRAM

Directions In this module exercise, you will make assessments of unit counseling programs. There are three situations: A, B and C. For each situation, answer the following questions and briefly explain your answer.

1. Did the leaders counsel their subordinates?
 2. Was it developmental counseling?
 3. Was their counseling effective?
-

Situation A You are the new First Sergeant. Today you witnessed leaders “counseling” in your unit. All morning the soldiers went about recovery from the recent field training exercise, while the NCOs and officers filled out counseling forms. After lunch, NCOs and officers presented each soldier and NCO with a counseling form and told them to sign if there were no questions, or go to the “appointment line” if there were questions. You had never witnessed this sort of “mass counseling” before.

You were wondering if this was a normal occurrence and asked one of the Platoon Sergeants to explain. Her explanation,

It’s the battalion commander’s policy to counsel soldiers monthly. There just isn’t time to sit down and talk to each soldier. In this unit the mission comes first, and counseling is one of many things that gets placed on the back burner. The current system is perfect; no forms ever need to get back-dated, a lot of time is not wasted “talking,” and those personnel who want to talk, have the opportunity to do so ... although everybody knows getting in the appointment line is not the thing to do!

During the explanation, you noticed one of the top mechanics walking by looking dejected. You approached this soldier and asked him about his glum expression. His explanation,

My squad leader just gave me my counseling form. He wrote, “I am not recommending you for promotion due to poor performance.” When I questioned what he was talking about, he said he wasn’t recommending anyone in the squad due to the low Operational Readiness (OR) rate. When I tried to explain that the deadlined vehicles were all awaiting parts and that there was nothing I could do about it, he told me to be quiet and that there wasn’t anything I could tell him about the motor pool. He told me that a skilled mechanic finds ways to keep the vehicles up. He blew up and said, “You just don’t get it! Good mechanics with a little common sense and initiative will know how to take care of things.”

Did the leaders counsel their subordinates?

Was it developmental counseling?

Was their counseling effective?

Situation B You are the new First Sergeant. Today you witnessed many junior leaders counseling their subordinates. As you observed the counseling you noticed the following:

- The counselors dominated the conversation with performance feedback and few counselors asked the subordinate for any type of self-assessment or allowed subordinates to comment on the performance observations.
- Counselors stated most observations in very general terms, e.g. Good job on . . . Need to work on . . .
- The counseling was a review of past performance with no focus on the future and no development of a plan of action.

Disturbed by the way most of the junior leaders counseled, you asked another company leader about the success of the unit counseling program. He boasted, "We are one of the few units who actually take time to counsel our soldiers. Every soldier below the rank of sergeant receives counseling monthly. All squad leaders make notes on their soldiers throughout the month and present the notes to the soldiers at end of month counseling."

You asked this leader if he thought the current system afforded the soldiers timely and effective feedback. He shrugged his shoulders and asked you the question, "What else is there to talk about in monthly counseling?"

Although the unit "counsels," you are very disturbed by your first impressions of the unit-counseling program.

Did the leaders counsel their subordinates?

Was it developmental counseling?

Was the counseling effective?

Situation C You are the new First Sergeant. Today you witnessed many junior leaders conducting monthly counseling. As you observed the counseling you noticed the following:

- Some leaders completed counseling in approximately 3 to 5 minutes, while other leaders counseled their soldiers for approximately one half hour.
- Some leaders counseled subordinates in private areas, while others counseled in areas where any passerby could hear the conversation.
- Some leaders asked the subordinate for input to the session and included the subordinate while others completely dominated the communication.

You asked a fellow company leader about the apparent disparity between the different styles of counseling in the unit. He explained that some of the leaders learned a “new style” of counseling at school. He didn’t know that much about the new style and really at this point in his career, didn’t care to learn. He said there is only one thing important about counseling and that is--there is a record that it occurred.

You are disturbed by this leader’s attitude and the great disparity of counseling styles in the unit.

Did the leaders counsel subordinates?

Was it developmental counseling?

Was the counseling effective?

SOLUTION/DISCUSSION FOR LESSON EXERCISE 2

Directions	Compare your responses with the following. The reference for this module's solution/discussion sheet is Student Handout 1. There are no specific paragraph references. If your responses do not agree with this solution/discussion sheet, review Student Handout 1.		
Assessment	Did the leaders counsel their subordinates?	Do leaders counsel in appropriate situations?	Was the counseling effective?
Situation A	No, Completing a counseling statement is not counseling.	The situation only describes monthly counseling, however you may infer that leaders in this organization do not value counseling.	The "counseling" is not effective as evidenced by the soldier's reaction in this situation.
Situation B	Yes, this is a strength of the program which you should sustain.	Cannot tell from information provided.	The counseling could be more effective if it (1) was more subordinate-centered, (2) contained more specific feedback and (3) resulted in the development of a plan of action which focused on future performance.
Situation C	Yes, to varying degrees and with varying styles.	Cannot tell from the information provided; however, since there is great disparity in the way leaders counsel, one might also expect disparity in when leaders choose to counsel.	Some leaders appear to follow some tenets of effective counseling while others do not. This disparity reflects a lack of command involvement or influence in the unit-counseling program.

LESSON EXERCISE 3

PLAN TO IMPROVE OR SUSTAIN UNIT COUNSELING PROGRAMS

Directions

Requirement: Analyze situation A in LE 2. Develop a plan to improve or sustain the unit-counseling program. Your plan must include:

1. An explanation of why the counseling program in situation A of LE-2 needs improvement.
 2. A description of how a good unit counseling program affects the organization.
 3. An assessment of the unit-counseling program based on the information provided.
 4. A specific plan describing measures to improve the unit-counseling program in the organization. The plan must address logical employment of any or all of the following:
 - role modeling
 - education
 - leader involvement
 5. The plan should address the deficiencies noted in the assessment as well as any strengths for sustainment. You must explain specifically how you will employ any or all of the above strategies.
 6. A plan to assess the impact of the improvement measures described in 4 above.
-

Appendix C

Index of Student Handouts

**This Appendix
Contains**

This Appendix contains the items listed in this table--

Title/Synopsis	Pages
SH-1, Appendix C, FM 22-100	SH-1-2 through SH-1-24
SH-2, Extract of FM 22-100, Chapter 4	SH-2-1
SH-3, Material extracted from the Center for Army Leadership, First Sergeant Guide.	SH-3-1 through SH-3-9

Student Handout 1

**This Handout
Contains**

Extract of Appendix C, FM 22-100, pages SH-1-2 thru SH-1-24

Appendix C

Developmental Counseling

C-1. Subordinate leadership development is one of the most important responsibilities of every Army leader. Developing the leaders who will come after you should be one of your highest priorities. Your legacy and the Army's future rests on the shoulders of those you prepare for greater responsibility.

C-2. Leadership development reviews are a means to focus the growing of tomorrow's leaders. Think of them as AARs with a focus of making leaders more effective every day. These important reviews are not necessarily limited to internal counseling sessions; leadership feedback mechanisms also apply in operational settings such as the CTCs.

C-3. Just as training includes AARs and training strategies to fix shortcomings, leadership development includes performance reviews. These reviews result in agreements between leader and subordinate on a development strategy or plan of action that builds on the subordinate's strengths and establishes goals to improve on weaknesses. Leaders conduct performance reviews and create plans of action during developmental counseling.

C-4. Leadership development reviews are a component of the broader concept of developmental counseling. Developmental counseling is subordinate-centered communication that produces a plan outlining actions that subordinates must take to achieve individual and organizational goals. During developmental counseling, subordinates are not merely passive listeners; they're actively involved in the process. The Developmental Counseling Form (DA Form 4856-E, which is discussed at the end of this appendix) provides a useful framework to prepare for almost any type of counseling. Use it to help you mentally organize issues and isolate important, relevant items to cover during counseling sessions.

C-5. Developmental counseling is a shared effort. As a leader, you assist your subordinates in identifying strengths and weaknesses and creating plans of action. Then you support them throughout the plan implementation and assessment. However, to achieve success, your subordinates must be forthright in their commitment to improve and candid in their own assessment and goal setting.

THE LEADER'S RESPONSIBILITIES

C-6. Organizational readiness and mission accomplishment depend on every member's ability to perform to established standards. Supervisors must mentor their subordinates through teaching, coaching, and counseling. Leaders coach subordinates the same way sports coaches improve their teams: by identifying weaknesses, setting goals, developing and implementing plans of action, and providing oversight and motivation throughout the process. To be effective coaches, leaders must thoroughly understand the strengths, weaknesses, and professional goals of their subordinates. (Chapter 5 discusses coaching.)

C-7. Army leaders evaluate DA civilians using procedures prescribed under the Total Army Performance Evaluation System (TAPES). Although TAPES doesn't address developmental counseling, you can use DA Form 4856-E to counsel DA civilians concerning professional growth and career goals. DA Form 4856-E is not appropriate for documenting counseling concerning DA civilian misconduct or poor performance. The servicing civilian personnel office can provide guidance for such situations.

C-8. Soldiers and DA civilians often perceive counseling as an adverse action. Effective leaders

Appendix C

who counsel properly can change that perception. Army leaders conduct counseling to help subordinates become better members of the team, maintain or improve performance, and prepare for the future. Just as no easy answers exist for exactly what to do in all leadership situations, no easy

answers exist for exactly what to do in all counseling situations. However, to conduct effective counseling, you should develop a counseling style with the characteristics listed in Figure C-1.

- **Purpose:** Clearly define the purpose of the counseling.
- **Flexibility:** Fit the counseling style to the character of each subordinate and to the relationship desired.
- **Respect:** View subordinates as unique, complex individuals, each with a distinct set of values, beliefs, and attitudes.
- **Communication:** Establish open, two-way communication with subordinates using spoken language, nonverbal actions, gestures, and body language. Effective counselors listen more than they speak.
- **Support:** Encourage subordinates through actions while guiding them through their problems.

Figure C-1. Characteristics of Effective Counseling

THE LEADER AS COUNSELOR

C-9. Army leaders must demonstrate certain qualities to be effective counselors. These qualities include respect for subordinates, self-awareness and cultural awareness, empathy, and credibility.

RESPECT FOR SUBORDINATES

C-10. As an Army leader, you show respect for subordinates when you allow them to take responsibility for their own ideas and actions. Respecting subordinates helps create mutual respect in the leader-subordinate relationship. Mutual respect improves the chances of changing (or maintaining) behavior and achieving goals.

SELF AWARENESS AND CULTURAL AWARENESS

C-11. As an Army leader, you must be fully aware of your own values, needs, and biases

prior to counseling subordinates. Self-aware leaders are less likely to project their biases onto subordinates. Also, aware leaders are more likely to act consistently with their own values and actions.

C-12. Cultural awareness, as discussed in Chapter 2, is a mental attribute. As an Army leader, you need to be aware of the similarities and differences between individuals of different cultural backgrounds and how these factors may influence values, perspectives, and actions. Don't let unfamiliarity with cultural backgrounds hinder you in addressing cultural issues, especially if they generate concerns within the organization or hinder team-building. Cultural awareness enhances your ability to display empathy.

EMPATHY

C-13. Empathy is the action of being understanding of and sensitive to the feelings, thoughts, and experiences of another person to the point that you can almost feel or experience them yourself. Leaders with empathy can put themselves in their subordinate's shoes; they can see a situation from the other person's perspective. By understanding the subordinate's position, you can help a subordinate develop a plan of action that fits the subordinate's personality and needs, one that works for the subordinate. If you don't fully comprehend a situation from your subordinate's point of view, you have less credibility and influence and your

subordinate is less likely to commit to the agreed upon plan of action.

CREDIBILITY

C-14. Leaders achieve credibility by being honest and consistent in their statements and actions. To be credible, use a straightforward style with your subordinates. Behave in a manner that your subordinates respect and trust. You can earn credibility by repeatedly demonstrating your willingness to assist a subordinate and being consistent in what you say and do. If you lack credibility with your subordinates you'll find it difficult to influence them.

LEADER COUNSELING SKILLS

C-15. One challenging aspect of counseling is selecting the proper approach to a specific situation. To counsel effectively, the technique you use must fit the situation, your capabilities, and your subordinate's expectations. In some cases, you may only need to give information or listen. A subordinate's improvement may call for just a brief word of praise. Other situations may require structured counseling followed by definite actions.

C-16. All leaders should seek to develop and improve their own counseling abilities. You can improve your counseling techniques by studying human behavior, learning the kinds of problems that affect your subordinates, and developing your interpersonal skills. The techniques needed to provide effective counseling will vary from person to person and session to session. However, general skills that you'll need in almost every situation include active listening, responding, and questioning.

ACTIVE LISTENING

C-17. During counseling, you must actively listen to your subordinate. When you're actively listening, you communicate verbally and non-verbally that you've received the subordinate's message. To fully understand a subordinate's message, you must listen to the words and observe the subordinate's manners. Elements of active listening you should consider include—

- **Eye contact.** Maintaining eye contact without staring helps show sincere interest. Occasional breaks of contact are normal and acceptable. Subordinates may perceive excessive breaks of eye contact, paper shuffling, and clock-watching as a lack of interest or concern. These are guidelines only. Based on cultural background, participants in a particular counseling session may have different ideas about what proper eye contact is.
- **Body posture.** Being relaxed and comfortable will help put the subordinate at ease. However, a too-relaxed position or slouching may be interpreted as a lack of interest.
- **Head nods.** Occasionally nodding your head shows you're paying attention and encourages the subordinate to continue.
- **Facial expressions.** Keep your facial expressions natural and relaxed. A blank look or fixed expression may disturb the subordinate. Smiling too much or frowning may discourage the subordinate from continuing.
- **Verbal expressions.** Refrain from talking too much and avoid interrupting. Let the subordinate do the talking while keeping the discussion on the counseling subject. Speaking only when necessary reinforces the importance of what the subordinate is saying and encourages the subordinate to

Appendix C

continue. Silence can also do this, but be careful. Occasional silence may indicate to the subordinate that it's okay to continue talking, but a long silence can sometimes be distracting and make the subordinate feel uncomfortable.

C-18. Active listening also means listening thoughtfully and deliberately to the way a subordinate says things. Stay alert for common themes. A subordinate's opening and closing statements as well as recurring references may indicate the subordinate's priorities. Inconsistencies and gaps may indicate a subordinate's avoidance of the real issue. This confusion and uncertainty may suggest additional questions.

C-19. While listening, pay attention to the subordinate's gestures. These actions complete the total message. By watching the subordinate's actions, you can "see" the feelings behind the words. Not all actions are proof of a subordinate's feelings, but they should be taken into consideration. Note differences between what the subordinate says and does. Nonverbal indicators of a subordinate's attitude include—

- **Boredom.** Drumming on the table, doodling, clicking a ball-point pen, or resting the head in the palm of the hand.
- **Self-confidence.** Standing tall, leaning back with hands behind the head, and maintaining steady eye contact.
- **Defensiveness.** Pushing deeply into a chair, glaring at the leader, and making sarcastic comments as well as crossing or folding arms in front of the chest.
- **Frustration.** Rubbing eyes, pulling on an ear, taking short breaths, wringing the hands, or frequently changing total body position.
- **Interest, friendliness, and openness.** Moving toward the leader while sitting.
- **Openness or anxiety.** Sitting on the edge of the chair with arms uncrossed and hands open.

C-20. Consider these indicators carefully. Although each indicator may show something about the subordinate, don't assume a particular behavior absolutely means something. Ask

the subordinate about the indicator so you can better understand the behavior and allow the subordinate to take responsibility for it.

RESPONDING

C-21. Responding skills follow-up on active listening skills. A leader responds to communicate that the leader understands the subordinate. From time to time, check your understanding: clarify and confirm what has been said. Respond to subordinates both verbally and nonverbally. Verbal responses consist of summarizing, interpreting, and clarifying the subordinate's message. Nonverbal responses include eye contact and occasional gestures such as a head nod.

QUESTIONING

C-22. Although questioning is a necessary skill, you must use it with caution. Too many questions can aggravate the power differential between a leader and a subordinate and place the subordinate in a passive mode. The subordinate may also react to excessive questioning as an intrusion of privacy and become defensive. During a leadership development review, ask questions to obtain information or to get the subordinate to think about a particular situation. Generally, the questions should be open-ended so as to evoke more than a yes or no answer. Well-posed questions may help to verify understanding, encourage further explanation, or help the subordinate move through the stages of the counseling session.

COUNSELING ERRORS

C-23. Effective leaders avoid common counseling mistakes. Dominating the counseling by talking too much, giving unnecessary or inappropriate "advice," not truly listening, and projecting personal likes, dislikes, biases, and prejudices all interfere with effective counseling. You should also avoid other common mistakes such as rash judgments, stereotypes, loss of emotional control, inflexible methods of counseling and improper follow-up. To improve your counseling skills, follow the guidelines in Figure C-2.

- Determine the subordinate's role in the situation and what the subordinate has done to resolve the problem or improve performance.
- Draw conclusions based on more than the subordinate's statement.
- Try to understand what the subordinate says and feels; listen to what the subordinate says and how the subordinate says it.
- Show empathy when discussing the problem.
- When asking questions, be sure that you need the information.
- Keep the conversation open-ended; avoid interrupting.
- Give the subordinate your full attention.
- Be receptive to the subordinate's feelings without feeling responsible to save the subordinate from hurting.
- Encourage the subordinate to take the initiative and to say what the subordinate wants to say.
- Avoid interrogating.
- Keep your personal experiences out of the counseling session unless you believe your experiences will really help.
- Listen more; talk less.
- Remain objective.
- Avoid confirming a subordinate's prejudices.
- Help the subordinate help himself.
- Know what information to keep confidential and what to present to the chain of command.

Figure C-2. Guidelines to Improve Counseling

THE LEADER'S LIMITATIONS

C-24. Army leaders can't help everyone in every situation. Even professional counselors can't provide all the help that a person might need. You must recognize your limitations and, when the situation calls for it, refer a subordinate to a person or agency more qualified to help.

C-25. These agencies Figure C-3 lists can help you and your people resolve problems. Although it's generally in an individual's best interest to seek help first from their first-line leaders, leaders must always respect an individual's right to contact most of these agencies on their own.

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Activity	Description
Adjutant General	Provides personnel and administrative services support such as orders, ID cards, retirement assistance, deferments, and in- and out-processing.
American Red Cross	Provides communications support between soldiers and families and assistance during or after emergency or compassionate situations.
Army Community Service	Assists military families through their information and referral services, budget and indebtedness counseling, household item loan closet, information on other military posts, and welcome packets for new arrivals.
Army Substance Abuse Program	Provides alcohol and drug abuse prevention and control programs for DA civilians.
Better Opportunities for Single Soldiers (BOSS)	Serves as a liaison between upper levels of command on the installation and single soldiers.
Army Education Center	Provides services for continuing education and individual learning services support.
Army Emergency Relief	Provides financial assistance and personal budget counseling; coordinates student loans through Army Emergency Relief education loan programs.
Career Counselor	Explains reenlistment options and provides current information on prerequisites for reenlistment and selective reenlistment bonuses.
Chaplain	Provides spiritual and humanitarian counseling to soldiers and DA civilians.
Claims Section, SJA	Handles claims for and against the government, most often those for the loss and damage of household goods.
Legal Assistance Office	Provides legal information or assistance on matters of contracts, citizenship, adoption, marital problems, taxes, wills, and powers of attorney.
Community Counseling Center	Provides alcohol and drug abuse prevention and control programs for soldiers.
Community Health Nurse	Provides preventive health care services.
Community Mental Health Service	Provides assistance and counseling for mental health problems.
Employee Assistance Program	Provides health nurse, mental health service, and social work services for DA civilians.
Equal Opportunity Staff office and Equal Employment Opportunity Office	Provides assistance for matters involving discrimination in race, color, national origin, gender, and religion. Provides information on procedures for initiating complaints and resolving complaints informally.
Family Advocacy Officer	Coordinates programs supporting children and families including abuse and neglect investigation, counseling, and educational programs.
Finance and Accounting Office	Handles inquiries for pay, allowances, and allotments.
Housing Referral Office	Provides assistance with housing on and off post.
Inspector General	Renders assistance to soldiers and DA civilians. Corrects injustices affecting individuals and eliminates conditions determined to be detrimental to the efficiency, economy, morale, and reputation of the Army. Investigates matters involving fraud, waste, and abuse.
Social Work Office	Provides services dealing with social problems to include crisis intervention, family therapy, marital counseling, and parent or child management assistance.
Transition Office	Provides assistance and information on separation from the Army.

Figure C-3. Support Activities

TYPES OF DEVELOPMENTAL COUNSELING

C-26. You can often categorize developmental counseling based on the topic of the session. The two major categories of counseling are event-oriented and performance/professional growth

EVENT-ORIENTED COUNSELING

C-27. Event-oriented counseling involves a specific event or situation. It may precede events, such as going to a promotion board or attending a school; or it may follow events, such as a noteworthy duty performance, a problem with performance or mission accomplishment, or a personal problem. Examples of event-oriented counseling include, but are not limited to—

- Specific instances of superior or substandard performance.
- Reception and integration counseling.
- Crisis counseling.
- Referral counseling.
- Promotion counseling.
- Separation counseling.

Counseling for Specific Instances

C-28. Sometimes counseling is tied to specific instances of superior or substandard duty performance. You tell your subordinate whether or not the performance met the standard and what the subordinate did right or wrong. The key to successful counseling for specific performance is to conduct it as close to the event as possible.

C-29. Many leaders focus counseling for specific instances on poor performance and miss, or at least fail to acknowledge, excellent performance. You should counsel subordinates for specific examples of superior as well as substandard duty performance. To measure your own performance and counseling emphasis, you can note how often you document counseling for superior versus substandard performance.

C-30. You should counsel subordinates who don't meet the standard. If the subordinate's performance is unsatisfactory because of a lack of knowledge or ability, you and the subordinate should develop a plan to improve the subordinate's skills. Corrective training may be required at times to ensure the subordinate

knows and achieves the standard. Once the subordinate can achieve the standard, you should end the corrective training.

C-31. When counseling a subordinate for a specific performance, take the following actions:

- Tell the subordinate the purpose of the counseling, what was expected, and how the subordinate failed to meet the standard.
- Address the specific unacceptable behavior or action, not the person's character.
- Tell the subordinate the effect of the behavior, action, or performance on the rest of the organization.
- Actively listen to the subordinate's response.
- Remain unemotional.
- Teach the subordinate how to meet the standard.
- Be prepared to do some personal counseling, since a failure to meet the standard may be related to or the result of an unresolved personal problem.
- Explain to the subordinate what will be done to improve performance (plan of action). Identify your responsibilities in implementing the plan of action; continue to assess and follow up on the subordinate's progress. Adjust plan of action as necessary.

Reception and Integration Counseling

C-32. As the leader, you must counsel new team members when they arrive at your organization. This reception and integration counseling serves two purposes. First, it identifies and helps fix any problems or concerns that new members may have, especially any issues resulting from the new duty assignment. Second, it lets them know the organizational standards and how they fit into the team. It clarifies job titles and sends the message that the chain of command cares. Reception and integration counseling should begin immediately upon arrival so new team members can quickly become integrated into the organization. (Figure C-4 gives some possible discussion points.)

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- Organizational standards.
- Chain of command.
- NCO support channel (who and how used).
- On-and-off duty conduct.
- Personnel/personal affairs/initial clothing issue.
- Organizational history, organization, and mission.
- Soldier programs within the organization, such as soldier of the month/quarter/year and Audie Murphy.
- Off limits and danger areas.
- Functions and locations of support activities (see Figure C-3).
- On- and off-post recreational, educational, cultural, and historical opportunities.
- Foreign nation or host nation orientation.
- Other areas the individual should be aware of, as determined by the leader.

Figure C-4. Reception and Integration Counseling Points**Crisis Counseling**

C-33. You may conduct crisis counseling to get a subordinate through the initial shock after receiving negative news, such as notification of the death of a loved one. You may assist the subordinate by listening and, as appropriate, providing assistance. Assistance may include referring the subordinate to a support activity or coordinating external agency support. Crisis counseling focuses on the subordinate's immediate, short-term needs.

Referral Counseling

C-34. Referral counseling helps subordinates work through a personal situation and may or may not follow crisis counseling. Referral counseling may also act as preventative counseling before the situation becomes a problem. Usually, the leader assists the subordinate in identifying the problem and refers the subordinate to the appropriate resource, such as Army Community Services, a chaplain, or an alcohol and drug counselor. (Figure C-3 lists support activities.)

Promotion Counseling

C-35. Leaders must conduct promotion counseling for all specialists and sergeants who are eligible for advancement without waivers but not recommended for promotion to the next

higher grade. Army regulations require that soldiers within this category receive initial (event-oriented) counseling when they attain full eligibility and then periodic (performance/personal growth) counseling thereafter.

Adverse Separation Counseling

C-36. Adverse separation counseling may involve informing the soldier of the administrative actions available to the commander in the event substandard performance continues and of the consequences associated with those administrative actions (see AR 635-200).

C-37. Developmental counseling may not apply when an individual has engaged in more serious acts of misconduct. In those situations, you should refer the matter to the commander and the servicing staff judge advocate. When the leader's rehabilitative efforts fail, counseling with a view towards separation fills an administrative prerequisite to many administrative discharges and serves as a final warning to the soldier to improve performance or face discharge. In many situations, it may be beneficial to involve the chain of command as soon as you determine that adverse separation counseling might be required. A unit first sergeant or commander should be the person who informs the soldier of the notification requirements outlined in AR 635-200.

PERFORMANCE AND PROFESSIONAL GROWTH COUNSELING

Performance Counseling

C-38. During performance counseling, you conduct a review of a subordinate's duty performance during a certain period. You and the subordinate jointly establish performance objectives and standards for the next period. Rather than dwelling on the past, you should focus the session on the subordinate's strengths, areas needing improvement, and potential.

C-39. Performance counseling is required under the officer, NCO, and DA civilian evaluation reporting systems. The OER process requires periodic performance counseling as part of the OER Support Form requirements. Mandatory, face-to-face performance counseling between the rater and the rated NCO is required under the NCOERS. TAPES includes a combination of both of these requirements.

C-40. Counseling at the beginning of and during the evaluation period facilitates a subordinate's involvement in the evaluation process. Performance counseling communicates standards and is an opportunity for leaders to establish and clarify the expected values, attributes, skills, and actions. Part IVb (Leader Attributes/Skills/Actions) of the OER Support Form (DA Form 67-9-1) serves as an excellent tool for leaders doing performance counseling. For lieutenants and warrant officers one, the major performance objectives on the OER Support Form are used as the basis for determining the developmental tasks on the Junior Officer Developmental Support Form (DA Form 67-9-1a). Quarterly face-to-face performance and developmental counseling is required for these junior officers as outlined in AR 623-105.

C-41. As an Army leader, you must ensure you've tied your expectations to performance objectives and appropriate standards. You must establish standards that your subordinates can work towards and must teach them how to achieve the standards if they are to develop.

Professional Growth Counseling

C-42. Professional growth counseling includes planning for the accomplishment of individual and professional goals. You conduct this counseling to assist subordinates in achieving organizational and individual goals. During the counseling, you and your subordinate conduct a review to identify and discuss the subordinate's strengths and weaknesses and create a plan of action to build upon strengths and overcome weaknesses. This counseling isn't normally event-driven.

C-43. As part of professional growth counseling, you may choose to discuss and develop a "pathway to success" with the subordinate. This future-oriented counseling establishes short- and long-term goals and objectives. The discussion may include opportunities for civilian or military schooling, future duty assignments, special programs, and reenlistment options. Every person's needs are different, and leaders must apply specific courses of action tailored to each individual.

C-44. Career field counseling is required for lieutenants and captains before they're considered for promotion to major. Raters and senior raters, in conjunction with the rated officer, need to determine where the officer's skills best fit the needs of the Army. During career field counseling, consideration must be given to the rated officer's preference and his abilities (both performance and academic). The rater and senior rater should discuss career field designation with the officer prior to making a recommendation on the rated officer's OER.

C-45. While these categories can help you organize and focus counseling sessions, they should not be viewed as separate, distinct, or exhaustive. For example, a counseling session that focuses on resolving a problem may also address improving duty performance. A session focused on performance may also include a discussion on opportunities for professional growth. Regardless of the topic of the counseling session, leaders should follow the same basic format to prepare for and conduct it.

APPROACHES TO COUNSELING

C-46. An effective leader approaches each subordinate as an individual. Different people and different situations require different counseling approaches. Three approaches to counseling include nondirective, directive, and combined. These approaches differ in the techniques used, but they all fit the definition of counseling and contribute to its overall purpose. The major difference between the approaches is the degree to which the subordinate participates and interacts during a counseling session. Figure C-5 summarizes the advantages and disadvantages of each approach.

NONDIRECTIVE

C-47. The nondirective approach is preferred for most counseling sessions. Leaders use their experienced insight and judgment to assist subordinates in developing solutions. You should partially structure this type of counseling by telling the subordinate about the counseling process and explaining what you expect.

C-48. During the counseling session, listen rather than make decisions or give advice. Clarify what's said. Cause the subordinate to bring out important points, so as to better understand the situation. When appropriate, summarize the discussion. Avoid providing solutions or rendering opinions; instead, maintain a focus on individual and organizational goals and objectives. Ensure the subordinate's plan of action supports those goals and objectives.

DIRECTIVE

C-49. The directive approach works best to correct simple problems, make on-the-spot corrections, and correct aspects of duty performance. The leader using the directive style does most of the talking and tells the subordinate what to do and when to do it. In contrast to the nondirective approach, the leader directs a course of action for the subordinate.

C-50. Choose this approach when time is short, when you alone know what to do, or if a subordinate has limited problem-solving skills. It's also appropriate when a subordinate needs guidance, is immature, or is insecure.

COMBINED

C-51. In the combined approach, the leader uses techniques from both the directive and nondirective approaches, adjusting them to articulate what's best for the subordinate. The combined approach emphasizes the subordinate's planning and decision-making responsibilities.

C-52. With your assistance, the subordinate develops the subordinate's own plan of action. You should listen, suggest possible courses, and help analyze each possible solution to determine its good and bad points. You should then help the subordinate fully understand all aspects of the situation and encourage the subordinate to decide which solution is best.

Developmental Counseling

	Advantages	Disadvantages
Nondirective	<ul style="list-style-type: none"> • Encourages maturity. • Encourages open communication. • Develops personal responsibility. 	<ul style="list-style-type: none"> • More time-consuming • Requires greatest counselor skill.
Directive	<ul style="list-style-type: none"> • Quickest method. • Good for people who need clear, concise direction. • Allows counselors to actively use their experience. 	<ul style="list-style-type: none"> • Doesn't encourage subordinates to be part of the solution. • Tends to treat symptoms, not problems. • Tends to discourage subordinates from talking freely. • Solution is the counselor's, not the subordinate's.
Combined	<ul style="list-style-type: none"> • Moderately quick. • Encourages maturity. • Encourages open communication. • Allows counselors to actively use their experience. 	<ul style="list-style-type: none"> • May take too much time for some situations.

Figure C-5. Counseling Approach Summary Chart

COUNSELING TECHNIQUES

C-53. As an Army leader, you may select from a variety of techniques when counseling subordinates. These counseling techniques, when appropriately used, cause subordinates to do things or improve upon their performance. You can use these methods during scheduled counseling sessions or while simply coaching a subordinate. Counseling techniques you can use during the nondirective or combined approaches include—

- **Suggesting alternatives.** Discuss alternative actions that the subordinate may take, but both you and the subordinate decide which course of action is most appropriate.
- **Recommending.** Recommend one course of action, but leave the decision to accept the recommended action to the subordinate.
- **Persuading.** Persuade the subordinate that a given course of action is best, but leave the decision to the subordinate.

Successful persuasion depends on the leader's credibility, the subordinate's willingness to listen, and their mutual trust.

- **Advising.** Advise the subordinate that a given course of action is best. This is the strongest form of influence not involving a command.

C-54. Some techniques you can use during the directive approach to counseling include—

- **Corrective training.** Teach and assist the subordinate in attaining and maintaining the standards. The subordinate completes corrective training when the subordinate attains the standard.
- **Commanding.** Order the subordinate to take a given course of action in clear, exact words. The subordinate understands that he has been given a command and will face the consequences for failing to carry it out.

Appendix C

THE COUNSELING PROCESS

C-55. Effective leaders use the counseling process. It consists of four stages:

- Identify the need for counseling.
- Prepare for counseling.
- Conduct counseling.
- Follow up.

IDENTIFY THE NEED FOR COUNSELING

C-56. Quite often organizational policies, such as counseling associated with an evaluation or counseling required by the command, focus a counseling session. However, you may conduct developmental counseling whenever the need arises for focused, two-way communication aimed at subordinate development. Developing subordinates consists of observing the subordinate's performance, comparing it to the standard, and then providing feedback to the subordinate in the form of counseling.

PREPARE FOR COUNSELING

C-57. Successful counseling requires preparation. To prepare for counseling, do the following:

- Select a suitable place.
- Schedule the time.
- Notify the subordinate well in advance.
- Organize information.
- Outline the counseling session components.
- Plan your counseling strategy.
- Establish the right atmosphere.

Select a Suitable Place

C-58. Schedule counseling in an environment that minimizes interruptions and is free from distracting sights and sounds.

Schedule the Time

C-59. When possible, counsel a subordinate during the duty day. Counseling after duty hours may be rushed or perceived as unfavorable. The length of time required for counseling depends on the complexity of the issue. Generally a counseling session should last less than an hour. If you need more time,

schedule a second session. Additionally, select a time free from competition with other activities and consider what has been planned after the counseling session. Important events can distract a subordinate from concentrating on the counseling.

Notify the Subordinate Well in Advance

C-60. For a counseling session to be a subordinate-centered, two-person effort, the subordinate must have time to prepare for it. The subordinate should know why, where, and when the counseling will take place. Counseling following a specific event should happen as close to the event as possible. However, for performance or professional development counseling, subordinates may need a week or more to prepare or review specific products, such as support forms or counseling records.

Organize Information

C-61. Solid preparation is essential to effective counseling. Review all pertinent information. This includes the purpose of the counseling, facts and observations about the subordinate, identification of possible problems, main points of discussion, and the development of a plan of action. Focus on specific and objective behaviors that the subordinate must maintain or improve as well as a plan of action with clear, obtainable goals.

Outline the Components of the Counseling Session

C-62. Using the information obtained, determine what to discuss during the counseling session. Note what prompted the counseling, what you aim to achieve, and what your role as a counselor is. Identify possible comments or questions to help you keep the counseling session subordinate-centered and help the subordinate progress through its stages. Although you never know what a subordinate will say or do during counseling, a written outline helps organize the session and enhances the chance of positive results. (Figure C-6 is one example of a counseling outline prepared by a platoon leader about to conduct an initial NCOER counseling session with a platoon sergeant.)

Type of counseling: Initial NCOER counseling for SFC Taylor, a recently promoted new arrival to the unit.

Place and time: The platoon office, 1500 hours, 9 October.

Time to notify the subordinate: Notify SFC Taylor one week in advance of the scheduled counseling session.

Subordinate preparation: Have SFC Taylor put together a list of goals and objectives he would like to complete over the next 90 to 180 days. Review the values, attributes, skills, and actions from FM 22-100.

Counselor preparation:

- Review the NCO Counseling Checklist/Record (DA Form 2166-8-1).
- Update or review SFC Taylor's duty description and fill out the rating chain and duty description on the working copy of the NCOER (DA Form 2166-8, Parts II and III).
- Review each of the values and responsibilities in Part IV of the NCOER and the values, attributes, skills and actions in FM 22-100. Think of how each applies to SFC Taylor and the platoon sergeant position.
- Review the actions you consider necessary for a success or excellence in each value and responsibility.
- Make notes in blank spaces in Part IV of the NCOER to assist when counseling.

Role as counselor: Help SFC Taylor to understand the expectations and standards associated with the platoon sergeant position. Assist SFC Taylor in developing the values, attributes, skills, and actions that will enable him to achieve his performance objectives, consistent with those of the platoon and company. Resolve any aspects of the job that aren't clearly understood.

Session outline: Complete an outline following the counseling session components in Figure C-7 and based on the draft duty description on the NCOER, ideally at least two to three days prior to the actual counseling session.

Figure C-6. Example of a Counseling Outline

Plan Counseling Strategy

C-63. As many approaches to counseling exist as there are leaders. The directive, nondirective, and combined approaches to counseling were addressed earlier. Use a strategy that suits your subordinates and the situation.

Establish the Right Atmosphere

C-64. The right atmosphere promotes two-way communication between a leader and subordinate. To establish a relaxed atmosphere, you may offer the subordinate a seat or a cup of coffee. You may want to sit in a chair facing the subordinate since a desk can act as a barrier.

C-65. Some situations make an informal atmosphere inappropriate. For example, during counseling to correct substandard performance, you may direct the subordinate to remain standing while you remain seated

behind a desk. This formal atmosphere, normally used to give specific guidance, reinforces the leader's rank, position in the chain of command, and authority.

CONDUCT THE COUNSELING SESSION

C-66. Be flexible when conducting a counseling session. Often counseling for a specific incident occurs spontaneously as leaders encounter subordinates in their daily activities. Such counseling can occur in the field, motor pool, barracks—wherever subordinates perform their duties. Good leaders take advantage of naturally occurring events to provide subordinates with feedback.

C-67. Even when you haven't prepared for formal counseling, you should address the four basic components of a counseling session. Their purpose is to guide effective counseling rather

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than mandate a series of rigid steps. Counseling sessions consist of—

- Opening the session.
- Discussing the issues.
- Developing the plan of action.
- Recording and closing the session.

Ideally, a counseling session results in a subordinate's commitment to a plan of action. Assessment of the plan of action (discussed below) becomes the starting point for follow-up counseling. (Figure C-7 is an example of a counseling session.)

Open the Session

C-68. In the session opening, state the purpose of the session and establish a subordinate-centered setting. Establish the preferred setting early in the session by inviting the subordinate to speak. The best way to open a counseling session is to clearly state its purpose. For example, an appropriate purpose statement might be: "The purpose of this counseling is to discuss your duty performance over the past month and to create a plan to enhance performance and attain performance goals." If applicable, start the counseling session by reviewing the status of the previous plan of action.

C-69. You and the subordinate should attempt to develop a mutual understanding of the issues. You can best develop this by letting the subordinate do most of the talking. Use active listening; respond, and question without dominating the conversation. Aim to help the subordinate better understand the subject of the counseling, for example, duty performance, a problem situation and its impact, or potential areas for growth.

C-70. Both you and the subordinate should provide examples or cite specific observations to reduce the perception that either is unnecessarily biased or judgmental. However, when the issue is substandard performance, you should make clear how the performance didn't meet the standard. The conversation, which should be two-way, then addresses what the subordinate needs to do to meet the standard. It's important that you define the issue as substandard performance and don't allow the

subordinate to define the issue as an unreasonable standard—unless you consider the standard negotiable or are willing to alter the conditions under which the subordinate must meet the standard.

Develop a Plan of Action

C-71. A plan of action identifies a method for achieving a desired result. It specifies what the subordinate must do to reach the goals set during the counseling session. The plan of action must be specific: it should show the subordinate how to modify or maintain his behavior. It should avoid vague intentions such as "Next month I want you to improve your land navigation skills." The plan must use concrete and direct terms. For example, you might say: "Next week you'll attend the map reading class with 1st Platoon. After the class, SGT Dixon will coach you through the land navigation course. He will help you develop your skill with the compass. I will observe you going through the course with SGT Dixon, and then I will talk to you again and determine where and if you still need additional training." A specific and achievable plan of action sets the stage for successful development.

Record and Close the Session

C-72. Although requirements to record counseling sessions vary, a leader always benefits by documenting the main points of a counseling session. Documentation serves as a reference to the agreed upon plan of action and the subordinate's accomplishments, improvements, personal preferences, or problems. A complete record of counseling aids in making recommendations for professional development, schools, promotions, and evaluation reports.

C-73. Additionally, Army regulations require written records of counseling for certain personnel actions, such as a barring a soldier from reenlisting, processing a soldier for administrative separation, or placing a soldier in the overweight program. When a soldier faces involuntary separation, the leader must take special care to maintain accurate counseling records. Documentation of substandard actions conveys a strong corrective message to subordinates.

C-74. To close the session, summarize its key points and ask if the subordinate understands the plan of action. Invite the subordinate to review the plan of action and what's expected of you, the leader. With the subordinate, establish any follow-up measures necessary to support the successful implementation of the plan of action. These may include providing the subordinate with resources and time, periodically assessing the plan, and following through on referrals. Schedule any future meetings, at least tentatively, before dismissing the subordinate.

FOLLOW UP

Leader's Responsibilities

C-75. The counseling process doesn't end with the counseling session. It continues through implementation of the plan of action and evaluation of results. After counseling, you must support subordinates as they implement their plans of action. Support may include

teaching, coaching, or providing time and resources. You must observe and assess this process and possibly modify the plan to meet its goals. Appropriate measures after counseling include follow-up counseling, making referrals, informing the chain of command, and taking corrective measures.

Assess the Plan of Action

C-76. The purpose of counseling is to develop subordinates who are better able to achieve personal, professional, and organizational goals. During the assessment, review the plan of action with the subordinate to determine if the desired results were achieved. You and the subordinate should determine the date for this assessment during the initial counseling session. The assessment of the plan of action provides useful information for future follow-up counseling sessions.

Open the Session

- Establish a relaxed environment. Explain to SFC Taylor that the more one discusses and understands Army values and leader attributes, skills, and actions, the easier it is to develop and incorporate them into an individual leadership style.
- State the purpose of the counseling session. Explain that the initial counseling is based on leader actions (what SFC Taylor needs to do to be a successful platoon sergeant) and not on professional developmental needs (what SFC Taylor needs to do to develop further as an NCO).
- Come to an agreement on the duty description, the meaning of each value and responsibility, and the standards for success and excellence for each value and responsibility. Explain that subsequent counseling will focus on SFC Taylor's developmental needs as well as how well SFC Taylor is meeting the jointly agreed upon performance objectives. Instruct SFC Taylor to perform a self-assessment during the next quarter to identify his developmental needs.
- Ensure SFC Taylor knows the rating chain. Resolve any questions that SFC Taylor has about the job. Discuss the team relationship that exists between a platoon leader and a platoon sergeant and the importance of two-way communication between them.

Discuss the Issue

- Jointly review the duty description on the NCOER, including the maintenance, training, and taking care of soldiers responsibilities. Mention that the duty description can be revised as necessary. Highlight areas of special emphasis and appointed duties.
- Discuss the meaning of each value and responsibility on the NCOER. Discuss the values, attributes, skills, and actions outlined in FM 22-100. Ask open-ended questions to see if SFC Taylor can relate these items to his role as a platoon sergeant.

Figure C-7. Example of a Counseling Session

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- Explain that even though the developmental tasks focus on developing leader actions, character development forms the basis for leadership development. Character and actions can't be viewed as separate; they're closely linked. In formulating the plan of action to accomplish major performance objectives, the proper values, attributes, and skills form the basis for the plan. As such, character development must be incorporated into the plan of action.

Assist in Developing a Plan of Action (During the Counseling Session)

- Ask SFC Taylor to identify actions that will facilitate the accomplishment of the major performance objectives. Categorize each action into one of the values or responsibilities listed on the NCOER.
- Discuss how each value and responsibility applies to the platoon sergeant position. Discuss specific examples of success and excellence in each value and responsibility block. Ask SFC Taylor for suggestions to make the goals more objective, specific, and measurable.
- Ensure that SFC Taylor has at least one example of a success or excellence bullet listed under each value and responsibility.
- Discuss SFC Taylor's promotion goals and ask him what he considers to be his strengths and weakness. Obtain copies of the last two master sergeant selection board results and match his goals and objectives to these.

Close the Session

- Check SFC Taylor's understanding of the duty description and performance objectives.
- Stress the importance of teamwork and two-way communication.
- Ensure SFC Taylor understands that you expect him to assist in your development as a platoon leader. This means that both of you have the role of teacher and coach.
- Remind SFC Taylor to perform a self-assessment during the next quarter.
- Set a tentative date during the next quarter for the routinely scheduled follow-up counseling.

Notes on Strategy

- Facilitate answering any questions SFC Taylor may have.
- Expect SFC Taylor to be uncomfortable with the terms and the developmental process; respond in a way that encourages participation throughout the session.

Figure C-7. Example of a Counseling Session (continued)**SUMMARY**

C-77. This appendix has discussed developmental counseling. Developmental counseling is subordinate-centered communication that outlines actions necessary for subordinates to achieve individual and organizational goals and

objectives. It can be either event-oriented or focused on personal and professional development. Figure C-8 summarizes the major aspects of developmental counseling and the counseling process.

<p>Leaders must demonstrate these qualities to counsel effectively:</p> <ul style="list-style-type: none"> • Respect for subordinates. • Self and cultural awareness. • Credibility. • Empathy. <p>Leaders must possess these counseling skills:</p> <ul style="list-style-type: none"> • Active listening. • Responding. • Questioning. <p>Effective leaders avoid common counseling mistakes. Leaders should avoid the influence of—</p> <ul style="list-style-type: none"> • Personal bias. • Rash judgments. • Stereotyping. • Losing emotional control. • Inflexible counseling methods. • Improper follow-up. 	<p>The Counseling Process</p> <ol style="list-style-type: none"> 1. Identify the need for counseling. 2. Prepare for counseling. <ul style="list-style-type: none"> • Select a suitable place. • Schedule the time. • Notify the subordinate well in advance. • Organize information. • Outline the components of the counseling session. • Plan counseling strategy. • Establish the right atmosphere. 3. Conduct the counseling session. <ul style="list-style-type: none"> • Open the session. • Discuss the issue. • Develop a plan of action (to include the leader's responsibilities). • Record and close the session. 4. Follow up. <ul style="list-style-type: none"> • Support plan of action implementation • Assess the plan of action.
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Figure C-8. A Summary of Developmental Counseling

THE DEVELOPMENTAL COUNSELING FORM

C-78. The Developmental Counseling Form (DA Form 4856-E) is designed to help Army leaders conduct and record counseling sessions. Figure C-9 shows a completed DA Form 4856-E documenting the counseling of a young soldier with financial problems. While this is an example of a derogatory counseling, you can see that it is still developmental. Leaders must decide when counseling, additional training,

rehabilitation, reassignment, or other developmental options have been exhausted. If the purpose of a counseling session is not developmental, refer to paragraphs C-36 and C-37. Figure C-10 shows a routine performance/professional growth counseling for a unit first sergeant. Figure C-11 shows a blank form with instructions on how to complete each block.

Appendix C

DEVELOPMENTAL COUNSELING FORM			
For use of this form see FM 22-100			
DATA REQUIRED BY THE PRIVACY ACT OF 1974			
AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN) PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates. ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary. DISCLOSURE: Disclosure is voluntary.			
PART I - ADMINISTRATIVE DATA			
Name (Last, First, MI) <i>Lloyd, Andrew</i>	Rank / Grade <i>PFC</i>	Social Security No. <i>123-45-6789</i>	Date of Counseling <i>28 March 1997</i>
Organization <i>2nd Platoon, B Battery, 1 - 1 ADA Bn</i>		Name and Title of Counselor <i>SGT Mark Levy, Squad Leader</i>	
PART II - BACKGROUND INFORMATION			
Purpose of Counseling: (Leader states the reason for the counseling, e.g. performance/professional or event-oriented counseling and includes the leader's facts and observations prior to the counseling): <i>The purpose of this counseling is to inform PFC Lloyd of his responsibility to manage his financial affairs and the potential consequences of poorly managing finances and to help PFC Lloyd develop a plan of action to resolve his financial problems.</i> <i>Facts: The battery commander received notice of delinquent payment on PFC Lloyd's Deferred Payment Plan (DPP). A payment of \$86.00 is 45 days delinquent</i>			
PART III - SUMMARY OF COUNSELING			
Complete this section during or immediately subsequent to counseling.			
Key Points of Discussion: <i>PFC Lloyd, late payments on a DPP account reflect a lack of responsibility and poor managing of finances. You should know that the letter of lateness has been brought to the attention of the battery commander, the first sergeant, and the platoon sergeant. They're all questioning your ability to manage your personal affairs. I also remind you that promotions and awards are based more than on just performing MOS-related duties; soldiers must act professionally and responsibly in all areas. Per conversation with PFC Lloyd, the following information was obtained:</i> <i>He didn't make the DPP payment due to a lack of funds in his checking account. His most recent long distance phone bill was over \$220 due to calling his house concerning his grandmother's failing health. PFC Lloyd stated that he wanted to pay for the phone calls himself in order not to burden his parents with the expense of collect calls. He also stated that his calling had tapered down considerably and he expects this month's phone bill to be approximately \$50. We made an appointment at ACS and ACS came up with the following information:</i> <i>PFC Lloyd's monthly obligations: Car payment: \$330</i> <i>Car insurance: \$138</i> <i>Rent including utilities: \$400</i> <i>Other credit cards: \$0</i> <i>Total monthly obligations: \$868.00</i> <i>Monthly take-home pay: \$1232.63</i> <i>We discussed that with approximately \$364 available for monthly living expenses, a phone bill in excess of \$200 will severely affect PFC Lloyd's financial stability and can't continue. We discussed the need for PFC Lloyd to establish a savings account to help cover emergency expenses. PFC Lloyd agreed that his expensive phone bill and his inability to make the DPP payment is not responsible behavior. He confirmed that he wants to get his finances back on track and begin building a savings account.</i>			
OTHER INSTRUCTIONS			
This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or retirement. For separation requirements and notification of loss of benefits/consequences, see local directives and AR 635-200.			

DA FORM 4856-E, JUN 99

EDITION OF JUN 85 IS OBSOLETE

Figure C-9. Example of a Developmental Counseling Form-Event Counseling

Developmental Counseling

<p>Plan of Action: (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goals(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below)).</p> <p><i>Based on our discussion, PFC Lloyd will be able to resume normal payment on his DPP account next month (assuming that his phone bill is approximately \$50). PFC Lloyd agreed to contact the DPP office and provide a partial payment of \$20 immediately. He agreed to exercise self-restraint and not make long distance calls as frequently. He decided that his goal is to make one ten-minute phone call every two weeks. He will write letters to express concern over his grandmother's condition and ask his parents to do the same to keep him informed. His long-term goal is to establish a savings account with a goal of contributing \$50 a month.</i></p> <p><i>PFC Lloyd also agreed to attend the check cashing class at ACS on 2, 9, and 16 April.</i></p> <p><i>Assessment date: 27 June</i></p>
<p>Session Closing: (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate).</p> <p>Individual counseled: I agree/ disagree with the information above</p> <p>Individual counseled remarks:</p> <p>Signature of Individual Counseled: <u>Andrew Lloyd</u> Date: <u>28 March 1997</u></p>
<p>Leader Responsibilities: (Leader's responsibilities in implementing the plan of action).</p> <p>PFC Lloyd will visit the DPP office to make an immediate partial payment of \$20 and will give me a copy of the receipt as soon as the payment is made. PFC Lloyd will also provide me with a copy of the next month's phone bill and DPP payment receipt.</p> <p>PFC Lloyd's finances will be a key topic of discussion at his next monthly counseling session.</p> <p>Signature of Counselor: <u>Mark Levy</u> Date: <u>28 March 1997</u></p>
<p align="center">PART IV - ASSESSMENT OF THE PLAN OF ACTION</p>
<p>Assessment (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):</p> <p>Counselor: _____ Individual Counseled: _____ Date of Assessment: _____</p> <p align="center">Note: Both the counselor and the individual counseled should retain a record of the counseling.</p>

DA FORM 4856-E (Reverse)

Figure C-9 (continued). Example of a Developmental Counseling Form-Event Counseling

Appendix C

DEVELOPMENTAL COUNSELING FORM <small>For use of this form see FM 22-100</small>			
DATA REQUIRED BY THE PRIVACY ACT OF 1974			
<small>AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN) PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates. ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary. DISCLOSURE: Disclosure is voluntary.</small>			
PART I - ADMINISTRATIVE DATA			
Name (Last, First, MI) <i>McDonald, Stephen</i>	Rank / Grade <i>1SG</i>	Social Security No. <i>333-33-3333</i>	Date of Counseling <i>13 March 1998</i>
Organization <i>D Company, 3-95th IN</i>		Name and Title of Counselor <i>CPT Peterson, Company Commander</i>	
PART II - BACKGROUND INFORMATION			
Purpose of Counseling: (Leader states the reason for the counseling, e.g. performance/professional or event-oriented counseling and includes the leader's facts and observations prior to the counseling): <ul style="list-style-type: none"> - <i>To discuss duty performance for the period 19 Dec 97 to 11 March 1998.</i> - <i>To discuss short-range professional growth goals/plan for next year.</i> - <i>Talk about long-range professional growth (2-5 years) goals.</i> 			
PART III - SUMMARY OF COUNSELING Complete this section during or immediately subsequent to counseling.			
Key Points of Discussion: <ul style="list-style-type: none"> - <i><u>Performance (sustain):</u></i> - <i>Emphasized safety and knowledge of demolition, tactical proficiency on the Platoon Live Fire Exercises.</i> - <i>Took charge of company defense during the last major field training exercise; outstanding integration and use of engineer, heavy weapons, and air defense artillery assets. Superb execution of defense preparations and execution.</i> - <i>No dropped white cycle taskings.</i> - <i>Good job coordinating with battalion adjutant on legal and personnel issues.</i> - <i>Continue to take care of soldiers, keep the commander abreast of problems.</i> - <i>Focused on subordinate NCO development; right man for the right job.</i> Improve: <ul style="list-style-type: none"> - <i>Get NCOs on the calendar.</i> - <i>Hold NCOs to standard on sergeants time training.</i> 			
OTHER INSTRUCTIONS			
<small>This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.</small>			

DA FORM 4856-E, JUN 99

EDITION OF JUN 85 IS OBSOLETE

**Figure C-10. Example of a Developmental Counseling Form-
Performance/Professional Growth Counseling**

Developmental Counseling

<p>Plan of Action: (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goals(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below)).</p> <ul style="list-style-type: none"> - <u>Developmental Plan (next year):</u> - <i>Develop a yearlong plan for NCODPs; coordinate to place on the calendar and training schedules.</i> - <i>Resume civilian education; correspondence courses.</i> - <i>Develop a company soldier of the month competition.</i> - <i>Assist the company XO in modularizing the supply room for quick, efficient load-outs.</i> - <i>Put in place a program to develop Ranger School candidates.</i> <p><u>Long-range goals (2 to 5 years):</u></p> <ul style="list-style-type: none"> - <i>Earn bachelor's degree.</i> - <i>Attend and graduate the Sergeant Majors Academy.</i> 		
<p>Session Closing: (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate).</p> <p>Individual counseled: I agree/disagree with the information above</p> <p>Individual counseled remarks:</p> <p>Signature of Individual Counseled: <u>1SG McDonald</u> Date: <u>13 March 1998</u></p>		
<p>Leader Responsibilities: (Leader's responsibilities in implementing the plan of action).</p> <ul style="list-style-type: none"> - <i>Coordinate with the 1SG on scheduling of NCODPs and soldier of the month boards.</i> - <i>Have the XO meet with the 1SG on developing a plan for modularizing and improving the supply room.</i> - <i>Provide time for Ranger candidate program.</i> <p>Signature of Counselor: <u>Mark Levy</u> Date: <u>28 March 1997</u></p>		
<p>PART IV - ASSESSMENT OF THE PLAN OF ACTION</p>		
<p>Assessment (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):</p> <p><i>1SG McDonald has enrolled in an associates degree program at the University of Kentucky. The supply room received all green evaluations during the last command inspection. Five of seven Ranger applicants successfully completed Ranger School, exceeding the overall course completion rate of 39%. Monthly soldier of the month boards proved to be impractical because of the OPTEMPO; however, the company does now hold quarterly boards during the white cycle. Brigade command sergeant major commented favorably on the last company NCODP he attended and gave the instructor a brigade coin.</i></p> <p>Counselor: <u>CPT Peterson</u> Individual Counseled: <u>1SG McDonald</u> Date of Assessment: <u>1 Aug 98</u></p> <p>Note: Both the counselor and the individual counseled should retain a record of the counseling.</p>		

DA FORM 4856-E (Reverse)

**Figure C-10 (continued). Example of a Developmental Counseling Form-
Performance/Professional Growth Counseling**

Appendix C _____

DEVELOPMENTAL COUNSELING FORM <small>For use of this form see FM 22-100</small>			
DATA REQUIRED BY THE PRIVACY ACT OF 1974			
<small>AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN) PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates. ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary. DISCLOSURE: Disclosure is voluntary.</small>			
PART I - ADMINISTRATIVE DATA			
Name (Last, First, MI)	Rank / Grade	Social Security No.	Date of Counseling
Organization		Name and Title of Counselor	
PART II - BACKGROUND INFORMATION			
<p>Purpose of Counseling: (Leader states the reason for the counseling, e.g. performance/professional or event-oriented counseling and includes the leader's facts and observations prior to the counseling):</p> <p style="text-align: center;"><i>See paragraph C-68, Open the Session</i></p> <p><i>The leader should annotate pertinent, specific, and objective facts and observations made. If applicable, the leader and subordinate start the counseling session by reviewing the status of the previous plan of action.</i></p>			
PART III - SUMMARY OF COUNSELING Complete this section during or immediately subsequent to counseling.			
<p>Key Points of Discussion:</p> <p style="text-align: center;"><i>See paragraphs C-69 and C-70, Discuss the Issues.</i></p> <p><i>The leader and subordinate should attempt to develop a mutual understanding of the issues. Both the leader and the subordinate should provide examples or cite specific observations to reduce the perception that either is unnecessarily biased or judgmental.</i></p>			
OTHER INSTRUCTIONS			
<small>This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.</small>			

DA FORM 4856-E, JUN 99 EDITION OF JUN 85 IS OBSOLETE

Figure C-11. Guidelines on Completing a Developmental Counseling Form

Developmental Counseling

<p>Plan of Action: (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goals(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below)).</p> <p style="text-align: center;"><i>See paragraph C-71, Develop a Plan of Action</i></p> <p><i>The plan of action specifies what the subordinate must do to reach the goals set during the counseling session. The plan of action must be specific and should contain the outline, guideline(s), and time line that the subordinate follows. A specific and achievable plan of action sets the stage for successful subordinate development.</i></p> <p><i>Remember, event-oriented counseling with corrective training as part of the plan of action can't be tied to a specified time frame. Corrective training is complete once the subordinate attains the standard.</i></p>
<p>Session Closing: (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate).</p> <p>Individual counseled: I agree/ <u>disagree</u> with the information above</p> <p>Individual counseled remarks:</p> <p style="text-align: center;"><i>See paragraph C-72 through C-74, Close the Session</i></p> <p>Signature of Individual Counseled: _____ Date: _____</p>
<p>Leader Responsibilities: (Leader's responsibilities in implementing the plan of action).</p> <p style="text-align: center;"><i>See paragraph C76, Leader's Responsibilities</i></p> <p><i>To accomplish the plan of action, the leader must list the resources necessary and commit to providing them to the soldier.</i></p> <p>Signature of Counselor: _____ Date: _____</p>
<p>PART IV - ASSESSMENT OF THE PLAN OF ACTION</p>
<p>Assessment (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):</p> <p><i>The assessment of the plan of action provides useful information for future follow-up counseling. This block should be completed prior to the start of a follow-up counseling session. During an event-oriented counseling session, the counseling session is not complete until this block is completed.</i></p> <p><i>During performance/professional growth counseling, this block serves as the starting point for future counseling sessions. Leaders must remember to conduct this assessment based on resolution of the situation or the established time line discussed in the plan of action block above.</i></p> <p>Counselor: _____ Individual Counseled: _____ Date of Assessment: _____</p> <p style="text-align: center;">Note: Both the counselor and the individual counseled should retain a record of the counseling.</p>

DA FORM 4856-E (Reverse)

Figure C-11 (continued). Guidelines on Completing a Developmental Counseling Form

Student Handout 2

**This Handout
Contains**

Extract of Chapter 4, FM 22-100, page SH-2-1
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Student Handout 2

COUNSELING

Nothing will ever replace one person looking another in the eyes and telling the soldier his strengths and weaknesses. [Counseling] charts a path to success and diverts soldiers from heading down the wrong road.

Sergeant Major Randolph S. Hollingsworth

4-14. Counseling is subordinate-centered communication that produces a plan outlining actions necessary for subordinates to achieve individual or organizational goals. Effective counseling takes time, patience, and practice. As with everything else you do, you must develop your skills as a counselor. Seek feedback on how effective you are at counseling, study various counseling techniques, and make efforts to improve. (Appendix C discusses developmental counseling techniques.)

4-15. Proper counseling leads to a specific plan of action that the subordinate can use as a road map for improvement. Both parties, counselor and counseled, prepare this plan of action. The leader makes certain the subordinate understands and takes ownership of it. The best plan of action in the world does no good if the subordinate doesn't understand it, follow it, and believe in it. And once the plan of action is agreed upon, the leader must follow up with one-on-one sessions to ensure the subordinate stays on track.

4-16. Remember, the Army values of loyalty, duty, and selfless service require you to counsel your subordinates. The values of honor, integrity, and personal courage require you to give them straightforward feedback. And the Army value of respect requires you to find the best way to communicate that feedback so that your subordinates understand it. These Army values all point to the requirement for you to become a proficient counselor. Effective counseling helps your subordinates develop personally and professionally.

4-17. One of the most important duties of all direct, organizational, and strategic leaders is to develop subordinates. Mentoring, which links the operating and improving leader actions, plays a major part in developing competent and confident future leaders. Counseling is an interpersonal skill essential to effective mentoring. (Chapters 5, 6, and 7 discuss the direct, organizational, and strategic leader mentoring actions.)

Student Handout 3

**This Handout
Contains**

Material extracted from the Center for Army Leadership, First Sergeant Guide, pages SH-3-1 thru SH-3-9
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Student Handout 3

FIRST SERGEANT JOB GUIDE

This job guide contains extracts compiled by the U.S. Army Sergeants Major Academy taken from the Center for Army Leadership website. Although not regulatory in nature, it contains valuable information for each First Sergeant in Assessing and Improving the unit's counseling program.

The Unit Counseling Program

Company level leaders must understand the effects of the unit counseling program on the organization. They must also ensure that all leaders within their organization understand who, when, and how to counsel. A unit-counseling program will only exist and sustain itself with strong leader involvement. Company level leaders must both set the example through their effective counseling of subordinates and assess and improve the counseling program within their units.

The Effects of Counseling on the Organization

The primary purpose of counseling is subordinate development, yet the secondary effect of counseling greatly influences the unit as a whole. An effective counseling program strengthens the chain of command while providing opportunity for individual leader development.

Strengthening the Chain of Command: A strong chain of command is one where the flow of information is two-way. Not only should a chain of command pass information down, it should also carry information up.

Leaders frequently ask subordinates for feedback or input on decisions, yet subordinates who are not comfortable communicating openly with leaders will not provide honest input. An effective unit-counseling program establishes an atmosphere of open, two-way communication in the unit in which the subordinate's knowledge, attitudes, and opinions are respected. With this type of atmosphere, leaders will better understand and influence their subordinates.

The respect a leader demonstrates toward a subordinate in counseling will be reflected back to the leader, or returned to the leader. Effective counseling is correctly interpreted by subordinates, as an act of care and concern. Leaders who display this level of caring strengthen their ability to influence those they lead.

Counseling provides subordinates an excellent opportunity to seek clarification on policies, procedures, standards, and priorities. It also provides an opportunity for leaders to check for subordinate's understanding and perceptions of the same. An effective counseling program is a key tool in establishing and maintaining an effective leader development program within a unit.

Opportunities for Leader Growth: Counseling presents opportunities for leaders to learn about their effectiveness, as well as opportunities to gain an appreciation for the complexity and diversity of those they lead. Leaders should reflect on, and learn from, each counseling session. For example, if a subordinate is not performing to standard, a leader should attempt to determine whether there is a communication problem, training deficiency, or an associated resource or equipment problem. Perhaps the issue is not isolated to a single subordinate, but affects the performance of many in the unit. Through counseling, leaders will discover that what motivates one subordinate may not motivate another, etc. Counseling presents an excellent opportunity for leaders to more fully understand those they lead and the effectiveness of their own leadership.

Assessing a Unit Counseling Program

Assessing a unit counseling program is more than simply determining whether or not leaders counsel their subordinates. It is a matter of determining whether or not leaders counsel at appropriate times and if they counsel effectively. In order to accurately assess the unit counseling program, leaders must determine the following:

- Do leaders counsel subordinates?
- Do leaders counsel in appropriate situations?
- Do leaders counsel effectively? For example, are the counseling sessions really developmental (creating a plan of action for further subordinate development) or are they evaluative (here's what you did and how well you did it)?

It is easy to assess a counseling program in a very superficial manner. The tendency is to give the counseling program a "GO" based on a very limited amount of information. For example, a leader might conclude that since most squad leaders counsel their soldiers monthly, the unit has an effective counseling program. This may be a false conclusion, as the information obtained does not address how the squad leaders counsel or if they counsel at appropriate times. Both of these points are important.

Leaders must address "who, how, and when" in assessing the unit counseling program. Although these three aspects of the assessment may seem simple, leaders cannot underestimate the complexity of the assessing process.

Given this complexity, a leader must not try to assess the counseling program as merely good or bad, but attempt to accurately determine the status of the program in several areas so that specific improvements may be made. A leader, who has not considered the meaning and complexity of counseling and how the counseling program is assessed, will have difficulty understanding and improving the unit-counseling program.

Performing the Assessment: At the company level, leaders attempt to gain information about if, when, and how well counseling occurs. The leader should query personnel of various ranks from different sections of the unit. The leader must pose questions appropriately in order to avoid “begging the right answer.” For example, if the leader asks, “Do you counsel your soldiers?” the answer would surely be “Yes.” A more effective approach is, “Tell me about the last time you counseled one of your soldiers...”

In addition to the comments listed above, leaders should review the current counseling program within their unit to ensure:

- That counseling taking place is not solely for the reason of separating a soldier. The primary purpose of developmental counseling is to develop subordinates, not to separate them from the Army.
- That two way communication is taking place between the leader and the subordinate and that the soldiers are not just signing the counseling form because of an evaluation or unit monthly counseling requirement.

- That the counseling sessions are really developmental (creating a plan of action for further subordinate development) and they are not evaluative (here's what you did and how well you did it).
- That the counseling sessions are individualized and everyone in the squad/section (for example) does not receive the same counseling session.
- That the command emphasis on the unit counseling program and senior leaders are leading by example by conducting productive, developmental counseling sessions.

An assessment of the unit-counseling program is not an isolated action. For example, you obtain information about the program during normal conversations with unit personnel. As you do with maintenance and training, you must continuously spot-check the effectiveness of your unit counseling program. The assessment cannot be limited to querying unit personnel. Part of the assessment should include counseling records and observing counseling sessions.

The leader may choose to vary the focus on the counseling program and tailor the assessment accordingly. For example, the leader may choose to focus on NCOER counseling for an identified time period. The following is an example of how a company level leader tailored the assessment instrument to assess NCOER counseling within a unit.

1. Do leaders counsel subordinates?
 - Do raters conduct initial and follow-up NCOER counseling?
2. Do leaders counsel in appropriate situations?
 - Do raters schedule counseling during the first 30 days of the rating period and at least quarterly thereafter?

- Is counseling conducted in a manner that encourages the subordinate to actively participate?

3. Do leaders counsel effectively?

- Does the counseling look toward the future? i.e. develop a plan of action to improve future performance rather than simply reviewing past performance.
- Does the counseling address the duty description, definitions of values/responsibilities and standards of success?
- Is there a plan of action to focus the subordinate's actions after the session?
- How does the subordinate participate in the session?
- Is the leader's responsibilities in implementing the plan of action (time, resources, and training) clearly identified and agreed upon?
- Is the follow-up counseling scheduled and does it actually take place?

Results of the Assessment: A leader cannot expect to give each category of the assessment instrument a purely negative or positive rating. The assessment may determine that counseling occurs more, or is more effective, in certain sections of the unit, or that the unit is very good at counseling junior soldiers while NCOs and officers rarely receive counseling. There may be ample records to support required counseling, but the effectiveness of the counseling may be lacking.

After a leader conducts an assessment, the leader should note the key findings of the assessment. Each unit counseling program will have strengths and weaknesses. Leaders must recognize and praise the positive aspects of the program and develop a plan of action to improve the weak areas.

Improve or Sustain a Unit Counseling Program

Using the findings of the assessment, the company level leader must take action to improve the shortcomings of the counseling program. Improvement measures must be specific and tailored to address specific shortcomings. Leaders may use all or some of the following strategies in improving the unit counseling program.

Role-Modeling. One of the most effective methods in improving counseling skills is to observe a skilled counselor. When leaders counsel they are “modeling” proper counseling for their subordinates. Most of us learned to counsel from our superiors’ example, not from what we were taught or learned in a school or classroom environment. Leaders demonstrate effective counseling for their subordinates in both actual situations and staged in role-play demonstrations.

Education. Many leaders are misguided or misinformed on counseling related issues. For example, some leaders do not think a leader should counsel subordinates unless there is a policy that mandates counseling. Others may think that since the commander has implemented a system of monthly counseling for sergeants and below, it is not necessary to counsel soldiers on performance concerns which need improvement (or maintained) today. Other leaders may hold the perception that since a subordinate is performing to standard, there is not need for counseling and reserve counseling for substandard performers or problem situations. Leaders must be educated in all aspects of the unit counseling program to include who, how, and when to counsel.

There are several methods to educate unit leaders on the unit counseling program ranging from formal policy memorandums to informal verbal directives. Leaders should also consider conducting professional development classes within the unit. Utilizing on-post assets available, classes could be coordinated for:

- Effective writing skills
- Communication skills
- Legal aspects of counseling
- Proper use of the NCOER

Leader Involvement: Leaders support the counseling program by scheduling time for counseling. Successful counseling requires preparation by both the leader and subordinate. When possible, the leader should counsel the subordinate during the duty day. Counseling after duty hours may be rushed or perceived as unfavorable. Leaders also show support for the counseling programs by setting the example through proper counseling of their own subordinates.

Leaders should frequently talk about and encourage counseling. They should continually evaluate the counseling program by talking with their junior leaders and their subordinates. Effective counseling should be praised and ineffective counseling corrected. A leader's attitude concerning counseling pervades the unit. If leaders routinely address the importance of, and the need for counseling, they strengthen the chain of command and promote development throughout the organization.

Conclusion

A company level leader is responsible for the unit-counseling program. An effective counseling program has a tremendous impact on the unit. It helps subordinates develop, strengthens the chain of command, and provides opportunities for counselors to improve their understanding of leadership. A company leader must: 1) understand the fundamentals of counseling, 2) perform informal assessments of counseling within the unit, and 3) improve the unit counseling program through role-modeling, education, and leader involvement. An effective unit counseling program is a dynamic system of skilled leaders helping their subordinates develop. It cannot be dictated with a policy memorandum or an evaluation system. It takes time, energy, and effort to develop and sustain an effective unit counseling program. Leaders who invest in developing unit counseling programs are investing in the future of their subordinates and of the unit.

STUDENT HANDOUT 1

Extract of FM 22-100, Appendix C